



418 Rec'd PCT/PTO C 8 JUL 1999

FORM PTO-1390  
(REV 5-93)

U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

LC-302/PCT/US

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U. S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/341287

INTERNATIONAL APPLICATION NO.  
PCT/US98/00862INTERNATIONAL FILING DATE  
01.16.98PRIORITY DATE CLAIMED  
01.17.97

TITLE OF INVENTION

PROCESS FOR HYDROXYALKYLATING CARBOXYLIC ACID-FUNCTIONALIZED MATERIALS

APPLICANT(S) FOR DO/EO/US

John G. WOODS, Susanne D. MORRILL, Anthony F. JACOBINE

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPPA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 13. to 19. below concern other document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 listing the documents cited in the International Search Report and enclosing copies thereof.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☐ Certificate of Mailing by Express Mail
19. ☒ Other items or information: Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371; Request; International Application as published (WO 98/31655); Return Receipt Postcard

## CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this International Patent Application is being deposited with the United States Postal Service on this date \_\_\_\_\_ in an envelope as "Express Mail Post Office to Addressee," Mailing Label Number \_\_\_\_\_, addressed to: Box PCT, Assistant Commissioner for Patents, Washington, D.C. 20231. Date: \_\_\_\_\_; Mailed By (type or print): \_\_\_\_\_

(Signature of person mailing paper)